a.   a computer system which enables the broker, institution, agent and interested parties to send and receive communications;

b.   a standing instructions database containing sets of instructions for trade settlement previously input by the institution, the broker and the agent;

c.   a processing computer within the computer system, which is coupled to the standing instruction database and which is configured to:

    i.   receive a communication from the broker containing notice of order execution information (a broker communication);

    ii.   receive a communication from the institution containing institution allocation instruction information (an institution communication);

    iii.   match, at the processing computer, the institution communication with the broker communication based on information contained in both communications;

    iv.   if there is a match, generate a confirmation for the trade based on information contained in the broker communication, information contained in the institution communication and information stored in the standing instructions database; and

    v.   make available, from the processing computer, the confirmation as a communication to the institution, broker, agent and interested parties for [which facilitates] the exchange of money and securities to settle the trade.

9. (Amended) A computer-based system for settlement of a securities trade among an

institution, broker, agent and interested parties, the system comprising:

a processing computer configured to (i) receive a communication

from the broker (a broker communication) comprising data fields

with information concerning the executed trade; (ii) receive a

communication from the institution (an institution communication)

comprising data fields with information concerning the executed

trade, where some of the data fields within the institution

communication corresponding to data fields within the broker

communication; and (iii) match the broker communication and the

institution communication <u>by</u> matching the data within a preselected set

of the corresponding data fields <u>in the broker and institution communications</u>.

12. (Amended) A system for [facilitating] settlement of a securities trade among a
broker, institution, agent and interested parties comprising:

a.   a computer system which enables the broker, institution, agent and

interested parties to send and receive communications;

b.   a processing computer within the computer system which is configured to:

i.   receive a communication from the broker containing notice of

order execution information (a broker communication);

ii.   receive a communication from the institution containing institution

allocation instruction information (an institution communication);

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iii.   match, at the processing computer, the institution communication with the broker communication based on information contained in both communications;

iv.   if there is a match, generate a confirmation for the trade based on information contained in the broker communication and information contained in the institution communication; and

v.   make available, from the processing computer, the confirmation as a communication to the institution, broker, agent and interested parties for [which facilitates] the settlement of the trade.

13. (Amended) In a computerized communication system used to exchange communications between a broker and an institution in the settlement of a securities trade:

    a.   a broker communication containing data within data fields designated by:
          institution identification number;
          broker identification number;
          security identification number;
          buy/sell code;
          number of shares or face value;
          settlement amount;
          trade date; and
          settlement date,

    b.   an institution communication containing data within data fields designated by:
          institution identification number;
          broker identification number;

security identification number;

buy/sell code;

number of shares or face value;

settlement amount;

trade date; and

settlement date, and

c.   a computer processor which compares the data within data fields of the broker communication with the data within data fields of the institution communication and if the data matches, generates a confirmation for the trade and makes that confirmation available from the computer processor [that confirmation] to the institution, broker, agent and interested parties for [which facilitates] the settlement of the trade.

15. (Amended) The apparatus of claim 14, wherein the standing instructions database further comprises:

at least one institution information data table [base];

at least one broker information data table;

at least one agent information data table;

at least one broker/institution link data table; and

at least one broker confirmation information data table.

21. (Amended) A system executing post-trade communications in the settlement of a securities trade among a broker, institution, agent and interested parties comprising:

a.   computer hardware and software means to enable the broker, institution, agent and interested parties to send and receive communications;

b.   means to state a set of standing instruction records containing sets of instructions for trade settlement previously input by the institution, the broker and the agent;

c.   computer hardware and software means to:

i.   receive a communication from the broker containing notice of order execution information (a broker communication);

ii. receive a communication from the institution containing institution allocation instruction information (an institution communication);

iii. match, at the computer hardware and software means, the institution communication with the broker communication based on information contained in both communications;

iv. if there is a match, generate a confirmation for the trade based on information contained in the broker communication, information contained in the institution communication and information stored in the standing instructions database; and

v.   make available, from the computer hardware and software means, the confirmation as a communication to the institution, broker, agent and interested parties for [which facilitates] the exchange of money and securities to settle the trade.

22. (Amended) A method for operating a computer to execute the communications necessary for settlement of a securities trade among a broker, institution, agent and interested parties, the method comprising the steps of:

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a.   receiving a communication from the broker containing notice of order execution information (a broker communication);

b.   receiving a communication from the institution containing institution allocation instruction information (an institution communication);

c.   matching the institution communication with the broker communication based on information contained in both communications;

d.   if there is a match, generating a confirmation for the trade based on information contained in the broker communication, information contained in the institution communication; and

e.   making available, from a central location, the confirmation as a communication to the institution, broker, agent and interested parties for [which facilitates] the exchange of money and securities to settle the trade.

29.   (Amended) A method for operating a computer to execute the communications necessary for settlement of a securities trade among a broker, institution, agent and interested parties, the method comprising the steps of:

a.   receiving from one or more of the broker, institution and agent a set of instructions for trade settlement;

b.   a standing instructions database storing the instructions for trade settlements;

c.   receiving a communication from the broker containing notice of order execution information (a broker communication);

d. receiving a communication from the institution containing institution allocation instruction information (an institution communication);

e. matching the institution communication with the broker communication based on information contained in both communications;

f. if there is a match, generating a confirmation for the trade based on information contained in the broker communication, information contained in the institution communication and information stored in the standing instructions database; and

g. making available, from a central location, the confirmation as a communication to the institution, broker, agent and interested parties for [which facilitates] settlement of the trade.

33 31. (Amended) A system for [facilitating] settlement of a securities trade by communicating the details of the trade among a broker, institution, agent and interested parties comprising:

a. a computer system which enables the broker and institution to send and receive communications and make communications available to the agent and interested parties;

b. a standing instructions database containing sets of instructions for trade settlement previously input by the institution, the broker and the agent;

c. a processing computer within the computer system, which is coupled to the standing instruction database and which is configured to:

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i. receive a series of communications from the broker containing notice of order execution information, the series including a last broker communication;

ii. receive a communication from the institution containing institution allocation instruction information (an institution communication);

iii. match, at the processing computer, the institution communication with the last broker communication based on information contained in both communications;

iv. if there is a match, generate a confirmation for the trade based on information contained in the last broker communication, information contained in the institution communication and information stored in the standing instructions database; and

v. make available, from the processing computer, the confirmation as a communication to the institution, broker, agent and interested parties for [which facilitates] the exchange of money and securities to settle the trade.

Please add claims 33-36, as follows:

33. (New) The system of claim 1 in which information in the confirmation is used as settlement instructions by at least one of the institution, broker, agent and interested parties to settle the trade.

34. (New) The system of claim 1 in which the confirmation is used as settlement instructions by at least one of the institution, broker, agent and interested parties to effect an exchange of funds and securities according to instructions in the confirmation.

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